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Title:

SYSTEM FOR PROVIDING STEP OUT  
COMMISSIONS AND COMPENSATION  
FOR RESEARCH BROKERS

Inventor:

Hansen, et al.; Docket No.:1100-074

EXPRESS MAIL  
EL 988617934 US

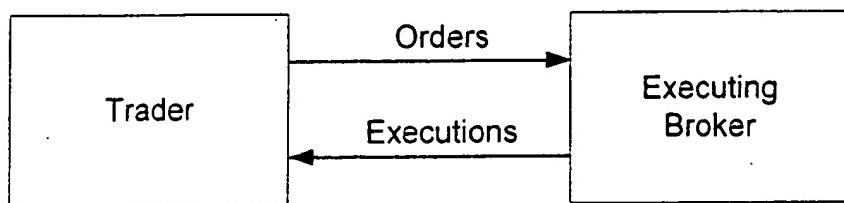


Fig. 1 (Prior Art)

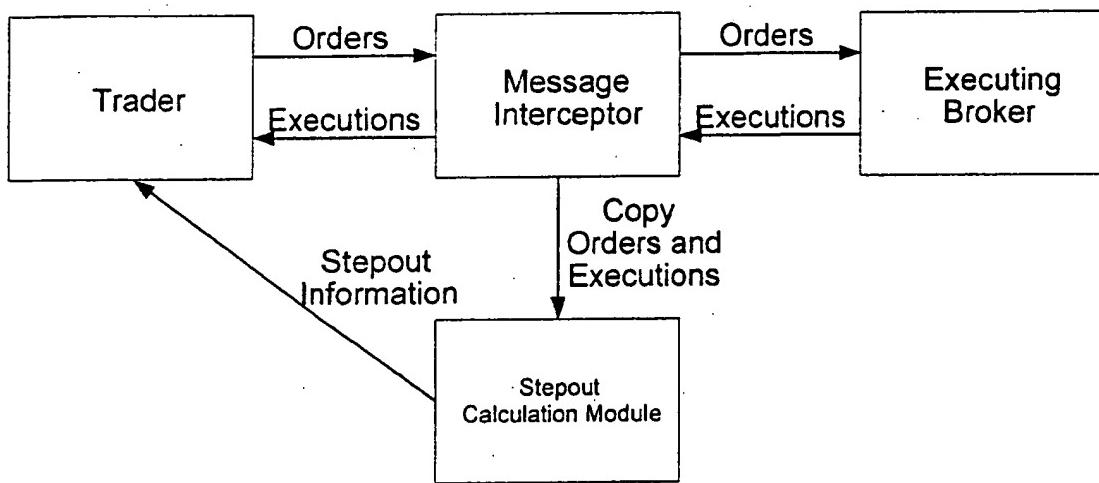


Fig. 2

Title:

# SYSTEM FOR PROVIDING STEP OUT COMMISSIONS AND COMPENSATION FOR RESEARCH BROKERS

EXPRESS MAIL  
EL 988617934 US

Hansen, et al.; Docket No.:1100-074

Sidekick v0.3a90

AEC Quality Millennium

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\$250.00						
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et al.; Doc	
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			<b>Broker</b>	<b>Stepout Qly</b>	<b>Stepout \$</b>
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Enriching Lives Through Learning

Stepout | AutoStepout  
View

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Sidekick v0.3a90

Exec / Quality / Millenium / Payments / Budget

EQ	Broker	Symbol	Ord Qty	Step Qty	Rate
Q	FIFI	AA	302433		\$0.03
Q	BERN	CAT	80000		\$0.05
Q	FIFI	C	500000		\$0.03
Q	MONT	MSFT	74000		\$0.06
Q	FBCO	PFE	65000		\$0.06
Q	MLCO	WMT	36000		\$0.03
Q	FIFI	PCG	1200000		\$0.03
Q	FIFI	SAP	300000		\$0.03
Q	SBSH	LYG	21000		\$0.05
►	UBSSW	CAT	97000		\$0.03
Q	MONT	GE	64000		\$0.06
Q	FBCO	LYG	59000		\$0.06
Q	BERN	XOM	70000		\$0.05
Q	MONT	GE	74000		\$0.06
Q	FBCO	BP	89000		\$0.06
Q	WACH	JNJ	89000		\$0.04

Exec / Quality / Millenium / Payments / Budget

From	To	Symbol	Stepout Qty	Stepout \$
FIFI	FBCO	AA	63000	\$1,890.00
► UBSW	MONT	CAT	4100	\$123.00

Overview / Stepout / AutoStepout

Stepout

Auto

Print Report

101

Fig 4

**Sidekick v0.3890**

Exec. Quality	Millennium Payments	Budget	Brokers	Commission	Rate (cents)
Rk	MPID	Full Name			
1	FBCO	Credit Suisse First Boston			
1	UBSW	UBS Warburg			
1	MLCO	Merrill Lynch			
1	GSCO	Goldman Sachs			
1	SBSH	Salomon Smith Barney			
2	MONT	Bank of America Securities			
2	BERN	Sanford C. Bernstein & Co., Inc.			
2	WACH	Wachovia Securities			
2	DBCT	Deutsche Bank			
2	FFI	Fidelity Capital Markets			
3	INGB	ING Barings			
3	SFS5	San Francisco Sentry			

### Client Directions

Client	Account No.	% Order Qty

Executive Quality	Millennium Payments	Budget	Brokers	Recapture	Commission	Rate (cents)	Payment Method
<input checked="" type="checkbox"/>							
1	304	303	302	301	300	309	308

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7: Sidekick v0.3a8

Execution Quality | Payments | Budget | Brokers | Soft Dollars

MPID	Full Name

#### Commission Notification Report

Be advised you have been stepped out \$payment from \$ourfirm.  
Payment will be wired by Nyfix Transaction Services at the close  
of business today.

Any problems, contact the Nyfix help desk 1-800-NYFIX

Best regards,

Joe Trader,  
\$ourfirm

Notification	<input type="checkbox"/> when actual payments are made
	<input type="checkbox"/> whenever commission is accrued
End of Week	<input checked="" type="checkbox"/>
End of Month	<input checked="" type="checkbox"/>
C Whenever account accrues multiple of <input type="text" value="\$500.00"/>	
Performance	<input type="checkbox"/> Settings <input type="checkbox"/> Notification

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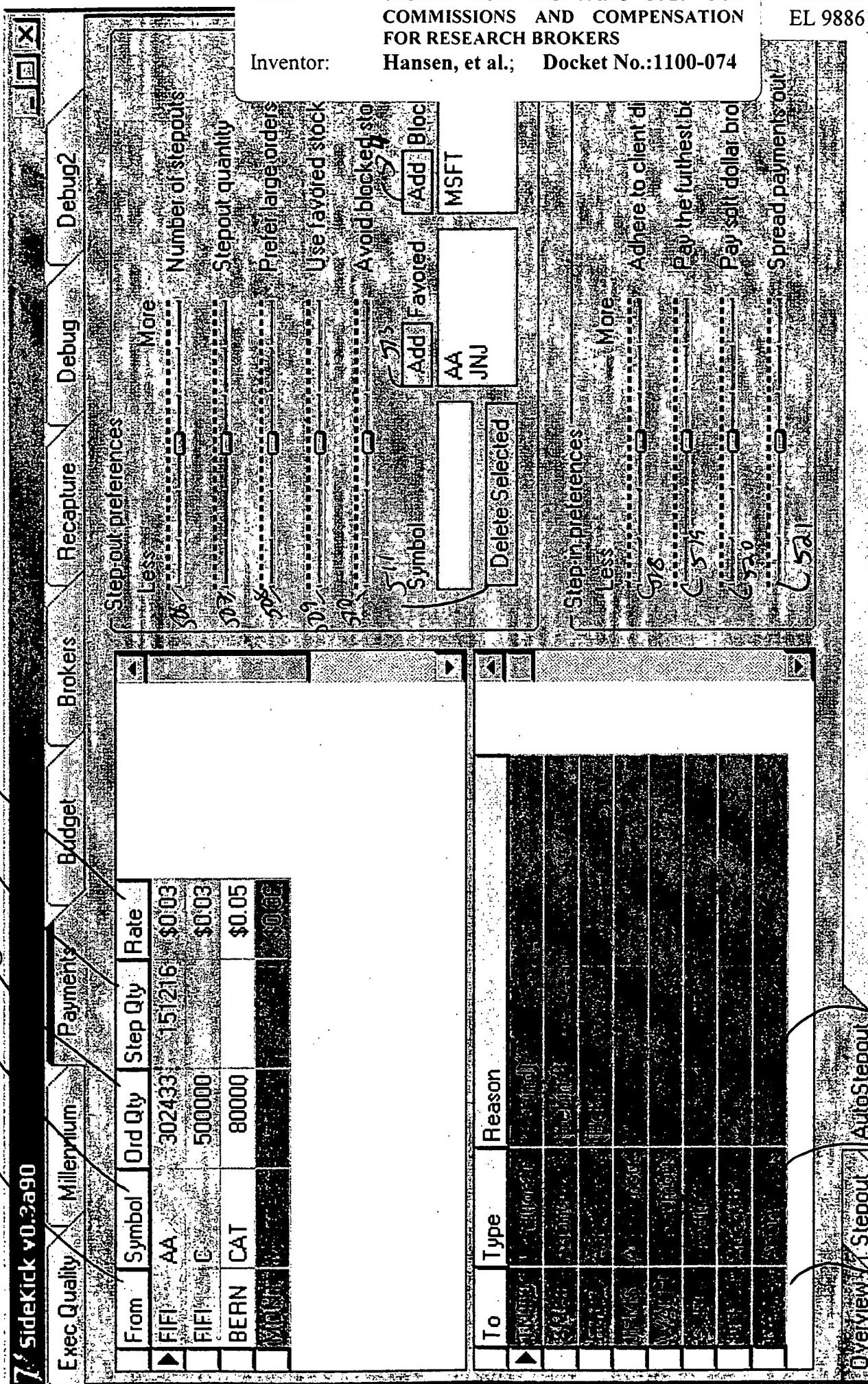
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## **SYSTEM FOR PROVIDING STEP OUT COMMISSIONS AND COMPENSATION FOR RESEARCH BROKERS**

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Sidekick v0.3.90

Exec Quality	Millennium	Payments	Budget	Brokers	Recapture
Rk	Broker	Target %	Target \$	Actual \$	
1	FBCO	4.00%	\$140,000.00	\$63,182.00	
1	UBSW	5.00%	\$175,000.00	\$114,623.00	
1	MLCO	5.00%	\$175,000.00	\$44,156.00	
1	GSCO	6.00%	\$210,000.00	\$52,562.00	
1	SBSH	4.00%	\$140,000.00	\$35,150.00	
2	MONT	3.00%	\$105,000.00	\$58,015.00	
2	BERN	3.00%	\$105,000.00	\$126,993.10	
2	WACH	3.00%	\$105,000.00	\$68,456.00	
2	DBCC	3.00%	\$105,000.00	\$69,227.00	
2	FIFI	3.00%	\$105,000.00	\$68,250.00	
3	INGB	2.50%	\$87,500.00	\$2,247.00	
3	SFSS	2.50%	\$87,500.00	\$57,578.00	
3	AVS	2.50%	\$87,500.00	\$48,405.00	
3	ADAM	2.50%	\$87,500.00	\$39,433.00	
3	RAJA	3.00%	\$105,000.00	\$36,871.00	
4	OPCO	2.00%	\$70,000.00	\$45,938.00	
4	SCHB	2.50%	\$87,500.00	\$2,161.00	

Estimated share of total commission "pie" for each firm. The exact amount to be paid is determined when you authorize the payment.

Estimated commission budget for one year. The budget can be changed at any time. The numbers are used by the system to auto-calculate step-outs and anonymous commission payments.

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